

Applicants

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Eligibility Criteria

Type of Firm

Is your business organized as a for-profit company?

Yes

No

[_WHY?](#)

Is your principal place of business located in the United States?

Yes

No

[_WHY?](#)

Ownership and Control

Is the majority (more than 50%) of your firms' equity (e.g. stock) is directly owned and controlled by one of the following?

One or more individuals who are citizens or permanent resident alien of the U.S.

Other for-profit small business concerns
(each of which is directly owned and controlled individuals who are citizens or permanent resident alien of the U.S.)

A combination of (1) and (2).

Multiple venture capital operating companies, hedge funds, private equity firms,

or any combination of these,
so long as no one such firm owns or controls more than 50% of the equity.

None of the above.

[_WHY?](#)

Company Size

Does your business have less than 500 employees?

Yes

No

[_WHY?](#)

We are sorry, but it does not seem that you are eligible to submit proposals for the SBIR program.

Congratulations! It seems that you are tentatively eligible to submit proposals for the SBIR program.

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Sbir.gov

All businesses that apply for the SBIR program must be for-profit companies located in the US. Per the [Guide to SBIR/STTR Program Eligibility](#):

"An SBIR/STTR small business awardee must be a business concern – it must be organized as a for-profit concern and meet all of the other requirements for a “business concern” in 13 C.F.R. § 121.105. Non-profit entities are not eligible (except as research institutions under the STTR Program)."

Close

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Sbir.gov

Per the [Guide to SBIR/STTR Program Eligibility](#):

"A majority (more than 50%) of your firms' equity (e.g., stock) must be directly owned and controlled by one of the following:

- 1.1) One or more individuals who are citizens or permanent resident aliens of the US,
- 2.2) Other for-profit small business concerns
(each of which is directly owned and controlled by individuals who are citizens or permanent resident aliens of the US).
- 3.3) A combination of (1) and (2) above.

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- 4.4) Multiple venture capital operating companies, hedge funds, private equity firms, or any combination of these, so long as no one such firm owns or controls more than 50% of the equity.

Note: This option is allowed only for SBIR awards from agencies that are using the authority provided in § 5107 of the SBIR/STTR Reauthorization Act (majority-VC-owned authority), 15 U.S.C. § 638(dd)(1).

*The venture capital operating company, hedge fund or private equity firm must have a place of business located in the United States and be created or organized in the United States, or under the law of the United States or of any State.

Note: If an Employee Stock Ownership Plan owns all or part of the concern, each stock trustee and plan member is considered an owner. If a trust owns all or part of the concern, each trustee and trust beneficiary is considered an owner."

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Sbir.gov

Per the [Guide to SBIR/STTR Program Eligibility](#) :

"The size requirement: An SBIR/STTR awardee, together with its affiliates, must not have more than 500 employees.

Is size determined by revenue for SBIR/STTR? No, for SBIR/STTR, size is determined only by the number of employees.

There are no revenue limits.

What is the definition of an employee?

For the SBIR/STTR programs, an employee includes all individuals employed on a full-time, part-time, or other basis.

This includes employees obtained from a temporary employee agency, professional employee organization or leasing concern.

SBA will consider the totality of the circumstances, including criteria used by the IRS for Federal income tax purposes, in determining whether individuals are employees of a concern.

Volunteers (i.e., individuals who receive no compensation, including no in-kind compensation, for work performed) are not considered employees.

See 13 C.F.R. § 121.106(a)."

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In addition:

- For SBIR, the primary employment of the principal investigator must be with the small business, and the proposing firm must perform at least 2/3rds of the R&D work in Phase I and at least 1/2 in Phase II
- For STTR, the proposing firm must perform at least 40% of the work with the collaborating research institution performing no less than 30%.

See the [Eligibility Guide](#) for more detailed information.

Getting Started

The U.S. Small Business Administration (SBA) Office of Technology oversees the SBIR and STTR Programs. Through these two competitive programs, SBA ensures that the nation's small, high-tech, innovative businesses are a significant part of the federal government's R&D efforts. Participating Federal Agencies post [solicitations](#) throughout the year. Small businesses compete by submitting proposals to these agencies. A winner in the competitive solicitation process is awarded a grant.

SBIR Program

The [SBIR program](#) provides funding to small, high-tech businesses to research, design, develop, and test new technology ideas related to specific needs defined in competitive solicitations floated by the federal agencies. The program stimulates technological innovation by funding new ideas that would not otherwise be funded, and helps introduce small business solutions into the market and to meet a wide range of Government research priorities from national defense and renewable energy systems to new medical or educational solutions.

STTR Program

Congress started the [STTR program](#) in 1992. The program funds cooperative R&D partnerships between a small business and a research institution such as a university, Federal R&D center, or a non-profit research institute. The STTR program is an effective vehicle for moving ideas from our nation's research institutions to the market, where they can benefit both private sector and military customers. The SBIR and STTR programs follow a similar solicitation and award process.

Company Registry

The [Company Registry](#) maintains SBC information, tracking ownership and affiliation requirements for all companies applying to the SBIR or STTR program. All applicants to the program are required to complete their registration at SBA's Company Registry prior to submitting an application. The SBC will report and/or update ownership information to SBA prior to each SBIR or STTR application submission. The SBC will also be able to view all of the ownership and affiliation requirements of the program on the Company Registry site. Completed registrations will receive a unique SBC Control ID and a pdf file to be used for submissions at any of the 11 participating agencies in the SBIR or STTR programs.

Ownership data collected in the Company Registry will not be shared publicly.

Submit a Proposal

Agencies post solicitations describing the technical areas and seek proposals from small businesses. Each agency has its own proposal submission guidelines. A few agencies follow an annual solicitation proposal cycle, while others float solicitations as the need arises. Agencies post solicitations on their sites as well as [grants.gov](#). In general, an SBIR Phase I proposal submission package has the following components:

- Business Plan
- Executive summary
- Cost Proposal
- Technical Proposal

Next Steps

- Check out the currently [open solicitations](#)
- [Find and apply](#) for federal grants
- Access Financing at [BusinessUSA.gov](#)
- Check out upcoming [events and workshops](#)
- Take a look at [past award winners](#)
- Review the [SBIR Policy Directive](#) and the [STTR Policy Directive](#) for submission guidelines
- Search [technology areas](#) and identify opportunities where your firm is a good fit

Hint: grants.gov is a good place to start looking for SBIR/STTR program opportunities. Just type "SBIR" in the basic search, and off you go!

External Resources

Here's a list of resources and links to the agency SBIR/STTR programs to get you started.

- A [sample](#) DoD Phase I proposal
- A how to tutorial by DoD ([video](#))
- A how to tutorial by DoD ([text](#))
- National Science Foundation [Step-by-Step FastLane User Guide](#)
- NIH's Institute of Allergy and infectious Diseases [Advice, Tips, and Tricks](#)

Participating Agencies

- [Department of Agriculture](#)
- Department of Commerce
 - [National Oceanic and Atmospheric Administration](#)
 - [National Institute of Standards and Technology](#)
- [Department of Defense](#)
- [Department of Education](#)
- [Department of Energy](#)
- [Department of Health and Human Services](#)
- [Department of Homeland Security](#)
- [Department of Transportation](#)
- [Environmental Protection Agency](#)
- [National Aeronautics and Space Administration](#)
- [National Science Foundation](#)